DOCUMENT RESUME

ED 023 431 LI 001 032

IMPLEMENTING CENTRALIZED PROCESSING FOR THE PUBLIC LIBRARIES OF NEW YORK STATE, A REPORT TO THE BOARD OF TRUSTEES OF THE ASSOCIATION OF NEW YORK LIBRARIES FOR TECHNICAL SERVICES.

Nelson Associates, Inc., New York, N.Y.. Stein (Theodore) Co., New York, N.Y.

Spons Agency -Association of New York Libraries for Technical Services. Rochester, N.Y.
Pub Date Nov 67
Note -35p.
EDRS Price MF -$0 25 HC -$1 48
Descriptors -Cataloging, Centralization, Library Acquisition, *Library Cooperation, *Library Networks, *Library Technical Processes, Pilot Projects, *Public Libraries
Identifiers -ANYLTS, *Association of New York Libraries for Technical Services, New York

This report proposes a program for establishing a single acquisitions--cataloging center and a network of physical preparation facilities for New York's public libraries. Part A describes a proposed pilot project to be implemented before the establishment of the total program. Part B is a discussion of various aspects of the centralized processing system including its location, location of the pilot project, organization, job descriptions and recruitment, statewide cataloging standards, uniform acquisitions procedures, coordination with school and academic libraries, financing, legal matters, and public relations. Part C, a timetable for implementation of the system, indicates that the center would not be ready to begin serving the public libraries before the end of 1973. The first phase, the pilot project, should be ready by early 1970. The final section of the report is a brief discussion of the status of existing technical processing systems during the implementation period. (CC)

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IMPLEMENTING CENTRALIZED PROCESSING FOR THE PUBLIC LIBRARIES OF NEW YORK STATE

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IMPLEMENTING CENTRALIZED PROCESSING

FOR THE PUBLIC LIBRARIES

OF NEW YORK STATE

A Report to the Board of Trustees
of the Association of New York Libraries
for Technical Services

Nelson Associates, Incorporated

November 1967

This report is submitted solely for the information and benefit of the client to whom it is addressed.

NELSON ASSOCIATES, INCORPORATED • 845 THIRD AVENUE, NEW YORK, N.Y. 10022 • 212 HA 1-3110

November 1, 1967

Mr. Edwin S. Holmgren, President
Association of New York Libraries
for Technical Services
c/o Rochester Public Library
115 South Avenue
Rochester, New York 14604

Dear Mr. Holmgren:

Last May, the Board of Trustees of the Association of New York Libraries for Technical Services (ANYLTS) asked Nelson Associates and The Theodore Stein Company to investigate the nature and scope of the tasks confronting the Board in its efforts to implement a single acquisitions-cataloging center and a network of physical preparation facilities for the public libraries of New York State. The study we undertook was aimed at the development of appropriate procedures for carrying out the Board's current objectives.

The report which follows details the recommended program. This document can be viewed as a blueprint of the implementation scheme we believe the Board of Trustees should adopt. It does not purport to contain either findings or conclusions relating to the outcome of the work of implementation itself.

The various sections of the text provide, in turn: a description of a pilot project that is viewed as an essential element of the program for implementation; a treatment of policy matters and other issues affecting the realization of ANYLTS' goals that require the attention of the Board of Trustees and call for certain decisions and/or actions; the specification of a timetable for implementation, with special emphasis on the next 15 months; and, finally, a discussion of the status of technical processing in the state's public library systems during the implementation period.

We hope the program we have presented will establish the basis for substantial and timely progress in effecting increased centralization of the technical processing operations of public libraries in New York State.

Very truly yours,

Nelson Associates, Inc.

NELSON ASSOCIATES, INC.

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PART A

A PILOT PROJECT TO TEST COMPUTERIZED ACQUISITIONS-CATALOGING IN A SINGLE SYSTEM AND THE FURTHER CENTRALIZATION OF THESE FUNCTIONS FOR TWO OR MORE SYSTEMS[1]

NEED FOR A PILOT PROJECT

The acquisitions-cataloging center that the Board of Trustees of ANYLTS is attempting to establish will perform essentially the same technical processing functions for the state's public libraries as do the ordering and cataloging units that are maintained by most of the 22 public library systems in New York. However, since the operations of the contemplated center are based on the large-scale application of computer equipment to the acquisition of library materials and the corresponding production of catalog copy, the past experiences and present characteristics of those public library systems that have automated their technical processing activities are not very relevant to the implementation of the proposed statewide acquisitions-cataloging center. There are major differences in the nature of the electronic data processing technologies proposed for the statewide center and the automated procedures that govern the technical processing operations of a few of the public library systems in the state. There are three reasons for these differences.

(1) The expected magnitude of the operations at the acquisitions-cataloging center necessitates the use of equipment and techniques that could not be economically employed by a single system.

(2) The proposal for the statewide center envisions implementation of the entire complex of computer-based acquisition and cataloging procedures at once. The technical processing procedures at a public library system would ordinarily evolve over a longer period of time.

(3) Information about the use of computers for library technical processing applications is becoming increasingly available. Much experience has been accumulated through various attempts to automate these activities. In all likelihood, the public library systems in the state would take a different approach to the centralization of ordering and cataloging than they took in the past if they were starting over today.

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1 The material included in Part A was supplied by The Theodore Stein Company.

The statewide acquisitions-cataloging center represents a new departure in automated technical processing operations. One cannot consider its implementation simply a matter of applying previously tried and tested methods on a larger scale. It therefore seems essential that the Board of Trustees plan for a pilot project to test the validity of the proposed procedures.

There is so much to be tested, in fact, that it would be advantageous to plan a pilot project in two phases. Phase I would test the new procedures, both human and machine, without bringing in the considerable additional complications of consolidating several systems' ordering and cataloging activities. Initially, the pilot would exclude experimentation in the effects of extremely large volume and of geographic dispersion. When Phase I of the pilot is operating smoothly and the value of the computerized procedures has been verified, then one or more additional public library systems would be incorporated into the pilot project to commence Phase II. Phase II would specifically deal with the problems of scale and of multi-system centralization of ordering and cataloging.

There is some temptation to regard the program outlined above as simply a "phasing-in" of the acquisitions-cataloging center by starting with a single system and including others as progress dictates. Such a viewpoint distorts the essential nature of the pilot concept. The pilot period should be regarded as one of development, experimentation and modification. The economic and service advantages and disadvantages of the proposed statewide center must be measured and monitored throughout this period. Only when Phase II of the pilot has been satisfactorily completed can the procedures of the center be regarded as relatively fixed and a planned phasing-in of libraries throughout the state initiated.

PREREQUISITES FOR THE PILOT PROJECT

A number of matters must be pursued before the pilot project can actually be initiated. In particular, the following actions must be taken and/or issues resolved:

(1) A Director for ANYLTS and two aides should be hired. The Director should be responsible for the complete development, implementation, operation and evaluation of the pilot project.

(2) Agreement must be reached on uniform cataloging rules for the state's public libraries by the time the pilot actually goes into operation, so that files developed in the course of the pilot will be useful in the on-going operation. This is quite important, since the initial effectiveness of the full-scale operation will depend upon the amount of data available in machine readable form. To the extent that material not yet on the computer files is ordered, manual or semi-manual methods must prevail. With the tremendous volumes that occur

on a statewide basis, this could cause considerable trouble in the first years of operation of the acquisitions-cataloging center. Much of this can be forestalled by the development of back files during the pilot experience. Before the pilot starts, all the public library systems in the state should be encouraged to adopt the agreed-upon cataloging practices so that their cataloging will be compatible with the back files developed during the pilot project.

(3) The Director and his aides should immediately undertake an analysis of the computer specifications prepared by The Theodore Stein Company and initiate conferences with the member systems of ANYLTS to determine the degree of acceptability of the most pertinent aspects of the specifications. Whatever modifications seem called for must then be made.

(4) Upon conclusion of their review and adjustment of the computer specifications, the Director and his aides should make an independent projection of the capital and operating costs of the proposed center.

(5) Changes in the organization of the technical processing units of the pilot system that will be necessary when the pilot project begins should be anticipated and appropriate arrangements made. Changes will very likely be necessary in the ordering department, the cataloging department and the accounting unit of the pilot system.

(6) The computer equipment to be used for the pilot project must be selected and ordered.

(7) If a specially designed computer type-face chain is to be used for printing catalog cards, steps should be taken to procure such a chain.

(8) The computer programming must be carried out, either on a contract basis or by programmers hired by the Director.

(9) Electronic data processing staff must be secured.

(10) While the computer programming is underway, a project should be established to create a computer form authority file on magnetic tape.

(11) Before the pilot is initiated, the union catalog of the pilot system should be converted to computer form. If it proves to be unfeasible to attempt conversion of the entire union catalog, a partical conversion might be done on the basis of imprint date, converting, for example, only the past three years' imprints.

(12) Prior to beginning the pilot, it will be necessary to prepare a list of supplier assignments based on publisher.

(13) There is a great deal of work to be done in the final design of the forms to be used at the center and by participating libraries. There will probably be some forty or so forms and careful attention must be given in every case to layout, typeface, color, size and the kind of carbon interleafing to use. After the forms have been designed, arrangements must be made to have them printed.

(14) When the computer specifications have been finalized, detailed operating instructions suitable for clerical staff and professional librarians must be prepared. Thereafter, some in-service training program should be established to educate the staff of the pilot system in the new procedures.

(15) The Director should establish liaison with the Library of Congress, publishers and other commercial organizations.

(16) A detailed method should be worked out for comparing pre-pilot procedures and costs in the pilot system with the computerized ordering and cataloging operations of Phase I. Provisions for collecting pre-pilot data should be initiated in the pilot system at the earliest possible time. A similar procedure should be established to accumulate comparable data during the pilot project.

OBJECTIVES OF PHASE I

The objectives of Phase I of the pilot project can be listed as follows:

(1) To test all of the computer procedures and associated clerical, professional and administrative procedures that will be followed at the acquisitions-cataloging center. Most of these procedures follow from the introduction of a computer into the center's operations. Some of the changes envisioned, however, are the natural result of setting up a new entity and trying to improve upon existing methods.

(2) To build important files which will be needed in the full-scale statewide operation -specifically, a computer form authority file and a basic computer catalog file.

(3) To test the feasibility of establishing various important relationships with other organizations, such as the Library of Congress and certain commercial organizations which supply pre-publication information to libraries (e.g., R. R. Bowker Co.) or publish selection tools (e.g., Virginia Kirkus).

(4) To test the feasibility of inducing suppliers to bill and ship in certain prescribed ways and to evaluate the problems which may result when suppliers do not comply.

(5) To test the effect of computerized ordering and cataloging on the cost and quality of technical processing services in the pilot library system.

(6) To test certain new concepts in the utilization of computer equipment.

(7) To determine whether the information currently planned for inclusion on the computer master files is really necessary.

(8) To collect data on the advantages and disadvantages of "item number" ordering.

(9) To obtain a better understanding of the actual computer workload and to make more accurate projections of machine requirements for the final statewide center.

(10) Phase I might test the concept of the operation of a physical preparation facility that is remote from the acquisitions-cataloging center. It would be possible to test this concept at a single system by simply installing teletype connections between the order department and the physical preparation unit. These teletype lines might go only a few hundred feet but would simulate the full-scale conditions and allow experimentation with various operating procedures. In any event, Phase II would definitely test these aspects of ANYLTS operations.

CONDUCT OF PHASE I

One of the substantial advantages of conducting the pilot at an existing system is that it will be possible to carry out the pilot in a manner that is quite analogous to the automation of a business organization's procedures. That is, a portion of the operations can be computerized while the remainder stays on a manual basis. Then another portion can be converted, and so forth. This, of course, requires certain adjustments in the computer operations as the conversion progresses. As long as a portion of the pilot system's ordering and cataloging procedures are on a manual basis, it may be necessary to prepare certain special outputs but this should not be a great burden. As each portion of the computerized operation is phased-in, manual back-up can be retained until it is clear that the new procedure is working satisfactorialy.

There is a further advantage to a pilot at one of the state's systems. The staff of the system can be expected to be motivated to help refine the computerized procedures. Such a staff operates in an actual service environment. It knows that it has "customers" who will be expecting service that is the same or better than that which they received prior to the pilot conversion.

An appropriate phasing-in of the computer procedures would consist of the following:

(1) Production of requisition lists, acceptance of orders, preparation of orders to suppliers and production of catalog cards and labels for physical preparation. During this stage, maintenance of the open order file, all receiving room procedures and supplier payment and library billing would continue on a manual basis.

(2) Maintenance of the open order file and processing of receiving notices from the receiving room. At this stage, all financial processing would continue on a manual basis.

(3) Processing of supplier invoices and preparation of payments to the supplier. All the various financial activities associated with this work would be incorporated into the computerized procedures at this time.

(4) Billing member libraries. The preparation of bills to the pilot system's member libraries or reports on expenditures to the system's branches would be computerized at this time. The reconciliation of supplier payments with library billings would also be automated at this point.

The preparation of book catalogs should not be contemplated during the pilot project. Book catalog preparation will be tested in other projects that are presently under consideration in New York State. If these projects have advanced sufficiently so that procedures are well established, then limited book catalog preparation could well be included in Phase II of the pilot. In any case, highly condensed catalog listings, to permit ordering by item number, should be prepared during Phase II. Probably, such listings should take the form of a one-line main entry reference.

PHASE II

Phase II would continue the test of factors piloted in Phase I, but on a larger scale. In addition, it would pilot the following:

(1) Operation of a physical preparation facility remote from the acquisitions-cataloging center since, in all likelihood, Phase I will involved the use of a physical preparation facility adjacent to the center.

(2) The problems involved in consolidating the technical processing operations of several systems would be tested. In particular, the usefulness of the magnetic tape form catalog and authority files built up in Phase I would be tested.

(3) The computer system as currently designed allows several methods of ordering. It would be desirable if one or more of the public library systems participating in Phase II used an ordering method different from that employed by the pilot system so that these variations could be tested.

MATTERS WHICH MUST BE RESOLVED DURING THE PILOT PROJECT

Reliable information on which to base implementation decisions for many issues will only be obtained as a result of a pilot project which puts the contemplated procedures to test in actual working circumstances. The following aspects of the computer specifications which have been prepared must be resolved during the pilot project.

Acquisitions

(1) The use of a unique item number for each title is expected to bring great advantages. When orders are placed by item number, the procedures are most fully automated. When an order is received by author and title, greater amounts of manual effort are required. However, there are many questions associated with the concept of ordering by item number which the pilot must answer. These include:

What percent of the orders will be placed by item number?

What will be the frequency of item number errors?

To what extent will item number ordering be troublesome because of the fact that an error in author and title is often evident upon inspection but an item number error is not immediately detectable? For example, will item number ordering necessitate the use of a verification report to the ordering library, indicating by author and title which items have been ordered?

How frequently will orders be received for an item which has not yet been entered into the item number file at the center?

How often will there be erroneous entry of the same item under two item numbers?

(2) A machine search by author and title is provided in the present computer design for orders not placed by item number. Initially, this part of the computerized acquisitions procedure will have to be quite experimental. A number of different computer techniques for searching by author and title will have to be tested. It is not evident that machine search by author and title will be sufficiently effective and it is very likely that a visual verification will always be required following the machine search. Several other questions remain to be resolved by the pilot experience:

Should varient forms of authors' names be carried on the lookup file to improve the probability of accurately identifying the item in question or should a special file be kept so that incoming author and title orders can be converted to a common form prior to the lookup?

(3) The processing of order cancellations is very troublesome. A great deal of experience will be required to determine whether this should be handled as a computer procedure and, if so, how. The answer will depend upon the frequency of cancellations, the average time lapse between order placement and cancellation and the possibility of reassigning cancelled orders to other libraries.

(4) In some instances, the author's name as it appears on the title page will differ from the form utilized by the center for cataloging purposes. Will it be advantageous to maintain one form in the acquisition files and another in the cataloging files?

(5) The existing computer design provides for the possibility of several prices for an item (pre-publication price, various bindings, etc.). There may be difficulty in actually ascertaining these prices and it may be necessary to recognize more price variations than have been anticipated.

(6) The contemplated procedures are based on the assignment of a single supplier for each item at any one time. Perhaps there should be several suppliers assigned for each item. Maybe this should vary according to the physical preparation facility that will receive the item.

Physical Preparation

(1) The computer specifications which have been prepared for ANYLTS call for the production of a process control sheet for each batch of books to be processed by the physical

preparation facilities. A batch is defined as all the copies of a title on a single order placed with a particular supplier. This order may contain "orders" from many libraries. Much discussion preceded the decision to produce control sheets in this fashion and there is considerable uncertainty about the validity of this approach. Perhaps there should be a process control sheet for each combination of title and library on each order. On the other hand, there could be one sheet for each volume. Would a process control card be easier to file and handle than a sheet?

(2) It will probably be desirable to set an upper limit to the number of copies of a title included in any single order. This will keep the size of processing batches at a convenient level. The most desirable batch size must be determined during the pilot project.

(3) The computer could print some form of library identification on the book pocket label and thus eliminate the necessity for utilizing preprinted pockets. It remains to be seen, however, whether a book pocket label including such identification can be devised which will satisfactorily meet the requirements of the participating libraries.

Machine Techniques

(1) It has been proposed that ANYLTS employ electronic transmission of data between the acquisitons-cataloging center and the preparation facilities, especially in connection with the reporting of completed processing and the preparation of shipping papers. A number of issues relating to this innovation will have to be evaluated.

Is transmission really necessary or would conventional delivery of data records be satisfactory?

Would automatic typewriters or a punched card printing device be the more convenient printing mechanism at the physical preparation facilities?

Should transmission be used for other communications between the center and the preparation facilities?

(2) A case can be made for utilizing data processing equipment installations at the preparation facilities and on-line transmission between these localities and the acquisitions-cataloging center. This approach was not recommended for ANYLTS because of the considerbly greater expense it entails. However, experience may reveal that

there are sufficient advantages to this technique to offset the incremental expense. For example, there may be advantages in terms of more immediate response throughout the ANYLTS network to emergency and error situations.

(3) There are many questions about the proposed use of a character reader at the statewide center that need to be resolved. Some of these cover the technical problems associated with the character reader itself. Others relate to the economics of character reader input compared to keypunched input. Expectations are that the character reader will greatly reduce the error rate on data entry in addition to reducing the labor required for keyboard operations. All of this remains to be tested in actual practice. To properly test these matters, the pilot should initially be based on the use of keypunched input and later switch to the use of character reader input.

(4) Surprisingly, the most efficient method of cutting catalog cards after they are printed on the computer is as yet unresolved. There are questions concerning the proper cutting device to use. Perforations have been tried but the results have been unsatisfactory. Resolution of this matter rests on further experimentation.

(5) Experimentation with the typefaces available on computer printers and their appropriateness for catalog card production is also required.

Forms Design

(1) A number of the input forms that have been recommended for the acquisitions-cataloging center are prepared on the computer for re-entry via the character reader. The user of such forms indicates actions he wants taken by putting check marks in the appropriate boxes. The adequacy of this checking procedure must be ascertained. Exceptions to this procedure would involve written information that has to be keypunched. Experience is needed on the frequency with which such exceptions would occur and the problems which they will cause.

(2) In a number of instances when the item number is the only information required on the particular form, space for author and title information has nevertheless been recommended. Experience may show that this is an unnecessary precaution and that these forms can be designed as straight item number lists.

(3) Certain forms and reports dealing with the financial aspects of ANYLTS' processing operations are rather complicated. It is difficult to even predict what problems may arise during Phase II of the pilot project. Experience with these forms and reports will probably lead to certain modifications in their design and/or use.

Relationships with Suppliers

It has been assumed that ANYLTS will be able to successfully make operational demands on suppliers. For instance, suppliers will be asked to refer to the center's order number and the item numbers that appear on the order. If this information is not supplied in a great number of cases, some aspects of the center's computerized operations will have to be redesigned. Experience is also needed with the nature of supplier shipments of ordered materials to the physical preparation facilities. In particular:

(1) Experience will be needed to determine the effectiveness of the procedures for dealing with partially received orders and incorrect orders.

(2) Certain automatic procedures for reordering when wrong material is received are now included in the computer design. To what extent will these procedures actually help the situation?

(3) The receiving worksheets, labels and catalog cards forwarded from the acquisitions-cataloging center to the physical preparation facilities must be matched, filed and eventually pulled as materials are received from suppliers. It remains to be seen just how much effort this requires and whether practical experience will uncover procedural improvements.

Supplying Cataloging Information to Libraries

Centralized cataloging raises the problem of the best method of furnishing cross-reference information to the participating libraries. A cross-reference listing could be provided to serve this function. Its use must be tested.

Financial Functions

(1) Certain aspects of the procedures included in the present computer design may be affected by problems that arise in connection with the various financial functions that must be performed at the acquisitions-cataloging center. The computer will maintain records of payments to the suppliers,

prepare billings to participating libraries and generate checks to suppliers for invoices approved by the accounting department associated with the center. (Initially, this will be the pilot system's accounting unit.) Other accounting functions associated with invoice payment have not been included in the proposed computer design. In particular, the computer does not maintain records of funds available for payment. Checks are prepared for invoices which have been approved. In this scheme, the accounting department would withhold approval if funds are not available. If there are significant lags in receipts from the participating libraries and there is no reserve fund from which to make payments to suppliers, will it be necessary to build into the computer design some routine which will assist in maintaining financial control?

(2) No provision has been made in the computer design for the allocation of "overhead" charges included on suppliers' invoices. Shipping charges, for instance, would not be distributed among the various participating libraries represented on the invoice in question. It has been assumed that either the center will absorb these expenses or that there will be a fixed monthly charge to participating libraries to cover such costs. A change in this approach would require the introduction of a allocation routine into the computer design.

(3) The entire technique for invoice processing is a fairly intricate one, involving automatic coordination by the computer of information received from the acquistions department, the physical preparation receiving room, and the accounting unit. The procedures that have been incorporated into the computer design are more completely automated than those presently employed by the state's systems and should produce considerable manpower savings. However, considerable experience will be needed to determine the actual effectiveness of these proposals.

Use of Data From Outside Sources

(1) It is expected that the acquisitions-cataloging center will rely heavily upon data received from the Library of Congress in machine-readable form. It is impossible to determine at this time exactly what fraction of the center's catalog copy requirements will be met by such data, what problems will arise in using it and to what extent such data will be acceptable as received.

(2) The efficiency of ANYLTS' operations will be greatly enhanced if certain information can be obtained from commercial sources, especially if it is in machine-readable form. For example, the computer design contemplates the use of standard selection devices such as the Kirkus list and "Choice." Input from these sources would be used to anticipate those items most likely to be ordered by many of the participating libraries and to take advantage of this information in the preparation of certain outputs. Can arrangements be made to obtain this data? How should it be used to maximum advantage? How reliable will such information from outside sources be?

Problems Associated with the Ordering of Added Copy Titles

It is not clear whether conversion of all or a portion of the pilot system's catalog should be undertaken or whether conversion should proceed as orders for added copy titles are received at the center. This matter requires further investigation as part of the planning for the pilot project.

It might be quite advantageous to develop a back file of Library of Congress catalog data on magnetic tape before the start of the pilot project. Some experience will be needed to determine the extent to which such data could be profitably utilized.

TIMETABLE FOR PILOT PROJECT

The critical events in the implementation of the pilot project described in this section are those listed below. They must proceed in sequence.

Task	Months Required
Review computer design and modify if necessary	4
Programming and initial testing	18 - 24
Final testing of entire computer program	2

Thus, it would probably be 2 to 2-1/2 years after the start of a review of the available computer specifications before Phase I is fully operational.

PART B

TASKS CONFRONTING ANYLTS' BOARD OF TRUSTEES

This section discusses the tasks - including the establishment of the pilot project described in Part A - confronting the Board of Trustees of ANYLTS in its efforts to develop centralized processing for the public libraries of New York State.

CRITERIA FOR ULTIMATE LOCATION OF THE ACQUISITIONS-CATALOGING CENTER

There are two aspects to the location analysis. They are best specified by the following questions: first, in what area of the state (Albany, Buffalo, Long Island, New York City, Rochester, etc.) should the center be established; and, second, should the acquisitions-cataloging center be built alongside one of the public library systems in that area or should it have an independent locality? Although these questions are treated separately below, they are not profitably answered independently.

There appear to be four criteria the Board should apply in selecting an area for the location of the acquisitions-cataloging center.

(1) The center should be located in or near a labor pool. Its location should not be such as would impede the Board's ability to recruit the most competent professional librarians and data processing personnel.

(2) The center should be located at one of the state's transportation hubs.

(3) The center should be located in an area where the Board would be able to acquire, at reasonable cost, adequate space to support the level of operations contemplated.

(4) The center should be near a public library system that acquires a significant percentage of the new titles added each year by public libraries in the state.

The Board will undoubtedly find it impossible to select a location that fully meets all four of the above criteria. Obviously, the Board should choose the location that represents the best apparent compromise.

In attempting to determine whether the acquisitions-cataloging center should have its own unique locality, the Board must weigh the following advantages and disadvantages of having this operation share facilities with a public library system.

Advantages

(1) Since that part of the pilot experiment aimed at testing the feasibility of computerized procedures for acquisitions and cataloging (Phase I) should be undertaken at one of the state's public library systems, a decision to share facilities on an on-going basis would eliminate delays associated with a move of the computer installation to some other location upon successful completion of the pilot.

(2) If the acquisitions-cataloging center is located at some system's headquarters, the operations of the center can be effectively associated with the acquisitions practices of a particular library or libraries. This would simplify the handling of materials at the center and result in more efficient operations.

(3) Securing an independent site for the center might be more costly and troublesome than making arrangements for a shared location.

Disadvantages

(1) Most public library systems in the state have space problems already. The development of the acquisitions-cataloging center should not be inhibited by a shortage of space or by poor spatial arrangements among the ordering, cataloging and data processing functions.

(2) The difficulties of assuring that the most competent professional and non-professional personnel operate the acquisitions-cataloging center and the problems of gradually eliminating ordering and cataloging staffs in the various systems' headquarters might be aggravated if the center is located at one of these headquarters.

(3) The optimum location of the acquisitions-cataloging center within a given area of the state - from the standpoint of public transportation facilities, vehicular access and electronic data processing requirements - might be other than at the principal library system in that area.

Although the Board must consider each of these factors, it would appear that the issues involved in a decision of where to locate the acquisitions-cataloging center are not of such complexity as to require or profit from extensive research and testing. The members of the Board know the state well. Their decision on the location of the center should emerge from a series of informed negotiations with public library system administrators around the state.

Recommendation

The Board should attach top priority to the identification of a location for ANYLTS' acquisitions-cataloging center. At the earliest possible date, the matter should be scheduled for a Board meeting. One or more of the Board members should be charged with the task of collecting whatever specific information the Board requires for its decision. This committee should report its findings and conclusions within a month.

Should it decide to permanently locate the center at an existing public library system, the Board of ANYLTS should request the board of that library or system to officially accept such designation. This acceptance should extend to a willingness to serve, starting sometime within the next six months,[1] as the location of a pilot project to test the computer-based acquisitions-cataloging methodology. The Board, on its part, should agree to pay the host institution for the space occupied by ANYLTS' staff as well as any other operating expenses incurred by that institution in behalf of ANYLTS during the implementation process.

The Board of ANYLTS should reach its own decision on the most desirable ultimate location of the acquisitions-cataloging center not later than December 1967, and should announce an approved selection to its members before the end of the year.

CRITERIA FOR LOCATION OF THE PILOT PROJECT

Part A describes the pilot project that the Board should initiate as an integral part of the implementation process. The discussion here is limited to considerations affecting the selection of the pilot site.

If the Board decides to permanently establish the acquisitions-cataloging center at one of the systems, then that system's technical processing unit should serve as the site for the pilot project. If the center is not to be located alongside one of the system's headquarters, then the pilot site selected should contain a technical processing operation of

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1 Although Phase I of the pilot project is not expected to be fully operational for at least two years, the work of converting the acquisitions and cataloging operations of the pilot institution to computers should begin as soon as the existing computer specifications have been reviewed and, if necessary, modified.

sufficient magnitude that the use of a computer can offer economies of operation within that institution or system. The larger the better, since the economies of computer operations are more evident as the scale of operation increases. Size will not only make the pilot a more complete test but may make it possible to conduct a pilot project that pays for itself. That is, the pilot project might well result in substantial economies of operation for the pilot system.

Recommendation

By the end of 1967, the Board should have made arrangements with one of the state's public library systems for it to serve as the site for the pilot project.

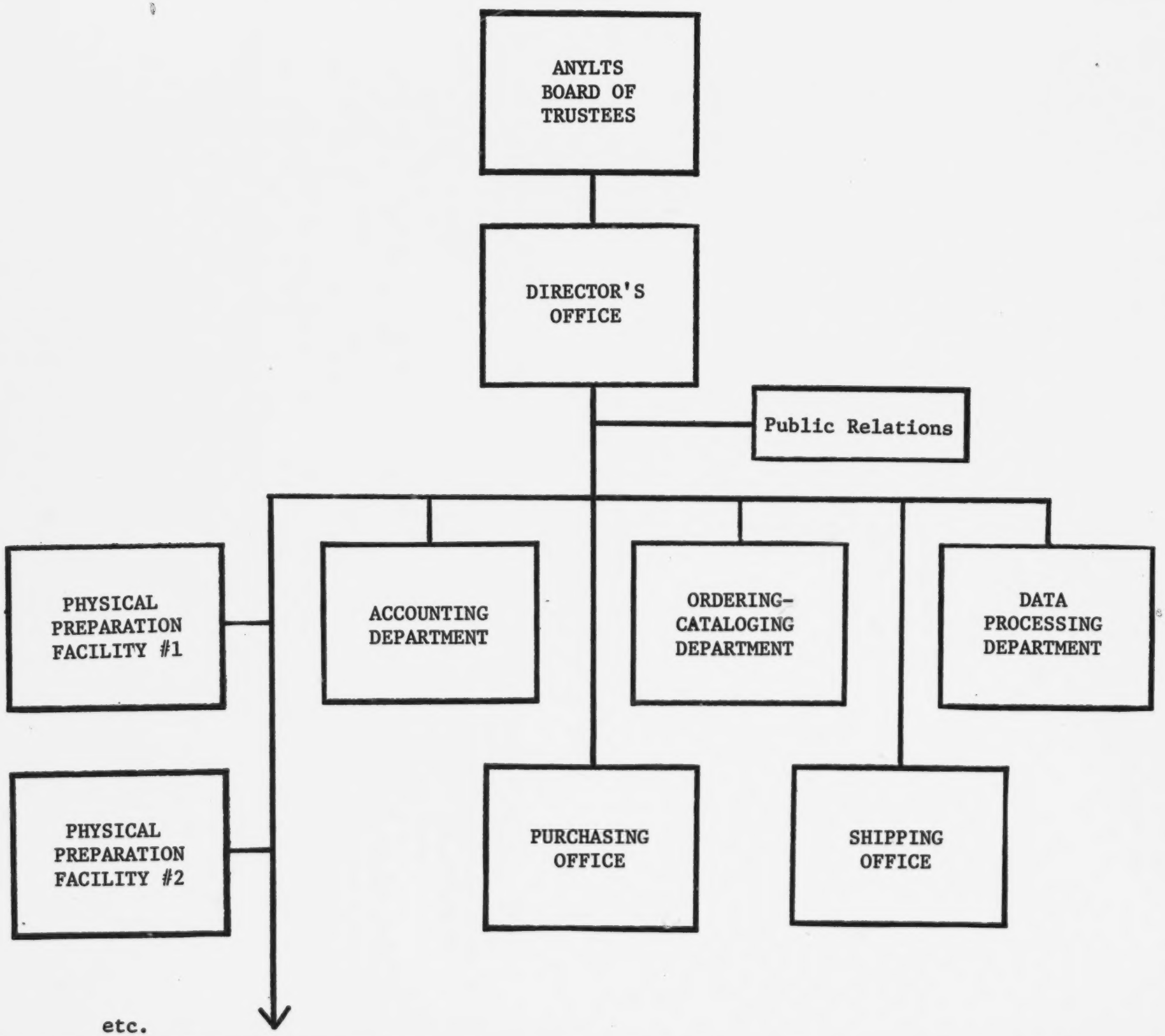
ORGANIZATION STRUCTURE FOR ANYLTS

It seems clear that the ANYLTS organization will encompass within its structure the following functions: ordering, cataloging, physical preparation, data processing, accounting, purchasing (of non-library materials), shipping (both sending and receiving) and public relations. Furthermore, it is quite evident that some of these functions - such as physical preparation and shipping - will have to be performed at more than one geographic location.

Given these circumstances, the organization structure of ANYLTS depends essentially on two considerations: first, whether or not the Board decides to establish the acquisitions-cataloging center alongside some system's headquarters; and, second, if the acquisitions-cataloging center is so located, the extent to which ANYLTS does or does not employ that system's central service units for its accounting, purchasing, public relations and other administrative functions.

There is little question, of course, that the structure of the ANYLTS organization will develop gradually over the implementation process; it will, in fact, be affected by elements in that process, such as the pilot project. It is, nevertheless, essential that the Board have some understanding of the various organizational patterns that might emerge.

If a decision is made to establish the acquisitions-cataloging center as an independent facility, then it seems clear that ANYLTS would have to have its own accounting, purchasing, shipping and public relations units in addition to its ordering, cataloging and data processing units. Under these circumstances, ANYLTS should probably contract for certain general administrative services such as security, cleaning and maintenance. Thus, the overall organization structure of ANYLTS might be along the lines shown on the following page.


ANYLTS
BOARD OF
TRUSTEES
DIRECTOR'S
OFFICE
Public Relations
PHYSICAL
PREPARATION
FACILITY #1
ACCOUNTING
DEPARTMENT
ORDERING-
CATALOGING
DEPARTMENT
DATA
PROCESSING
DEPARTMENT
PHYSICAL
PREPARATION
FACILITY #2
PURCHASING
OFFICE
SHIPPING
OFFICE
etc.

In this structure, the administrator of each regional physical preparation facility would be responsible for the delivery of processed materials to libraries in his region.

If the Board decides that the acquisitions-cataloging center should be located at one of the public library systems, then the opportunity for shared services - including accounting, purchasing, public relations, shipping, security, cleaning and maintenance, etc. - presents itself. Essentially, the considerations here center on the advantage of sharing certain overhead expenses against the disadvantage of diminished administrative control over the performance of the functions shared. It may prove feasible for ANYLTS and the host institution to share services, such as purchasing, that are essentially standardized, and not share those, such as accounting, which need to be tailored to the needs of each.

This issue isn't profitably pursued in a vacuum. If the Board should decide to locate the acquisitions-cataloging center on-site with an existing system's headquarters, it should consult with the chief administrative officer of that institution regarding the feasibility of shared services. Since the degree to which sharing is desirable will vary during the period of implementation, the staffs of both ANYLTS and the host institutions should periodically reexamine the question of shared services. Such sharing should probably be on a contract basis, one or the other organization paying an annual fee for services rendered.

During Phase I of the pilot project, the question of joint service units hardly presents itself. At that stage in the implementation process, the essential issue concerns those modifications in the staffing and work procedures of the book order, cataloging, preparation and accounting departments of the host institution that will be required during the computerization of that system's technical services. ANYLTS' staff during Phase I will be minimal. When the pilot project enters Phase II, however, the possibilities for sharing certain central service units should be pursued. At that point, ANYLTS and the host institution should decide whether they require completely independent operations or whether they should plan to jointly support some functions common to both institutions.

Recommendation:

By the end of 1967, the Board, having by that time resolved the two principal considerations affecting the eventual organization structure of ANYLTS (i.e., the ultimate location of the acquisitions-cataloging center and the site of the pilot), should prepare a list of those organizational functions that ANYLTS must perform for itself during Phase I. This identification will, of course, require consultations with the administrator of the system selected as the site for the pilot project.

JOB DESCRIPTIONS AND RECRUITMENT

Once the Board of Trustees has determined the eventual location of the acquisitions-cataloging center, has selected the pilot project site and has developed a preliminary statement of the organizational arrangements that will prevail between ANYLTS and the host institution during Phase I of the pilot, the Board should give attention to:

(1) the preparations of job descriptions for the principal positions in the ANYLTS organization; and,

(2) the recruitment of personnel to develop Phase I of the pilot project.

Although the preparation of job descriptions and hiring of staff are activities that will recur throughout the period of implementation, the Board's immediate responsibility is to secure the leadership and supporting manpower required to put the pilot project into operation.

Recommendation

By the end of this year, the Board should have secured the staff that will be responsible for planning and implementing the pilot test of computerized ordering and catalog copy production.

It would appear reasonable if the Board were to expect these efforts to result in the recruitment of a Director, two aides and a secretary. The person hired as Director should have the qualifications necessary for the position of chief administrative officer of the operational ANYLTS organization. The aides very likely, but not necessarily, will also assume permanent posts in ANYLTS. One of these aides should be a professional librarian with extensive experience in technical processing operations, including substantial supervisory responsibility. The second aide should be thoroughly versed in electronic data processing techniques.

Once the Board has secured a Director for ANYLTS, it should relinquish responsibility for the preparation of job descriptions, recruitment of personnel and development of ANYLTS' internal organization structure to this Director and his staff. The extent to which these and other implementation tasks necessitate the services of consultants should be a matter of his judgment as reflected in his recommendations to the Board.

ESTABLISHMENT OF STATEWIDE CATALOGING STANDARDS

Another urgent matter requiring the attention of the Board at this time is the establishment of uniform cataloging rules and practices for public libraries in New York State. There is little doubt that there are

numerous differences among the systems in cataloging procedures which will have to be standardized. It is probably also true that some of these differences are significant, while others are not. It is the responsibility of the Board to prepare a set of uniform rules and procedures for adoption by ANYLTS' member institutions. Implementation cannot be realistically pursued until this has been accomplished.

The urgency of the need for agreement on statewide cataloging standards for public libraries rests on two considerations:

(1) The initiation of Phase I of the pilot project should be accompanied by the adoption of the statewide cataloging rules and practices by the pilot system. Then, files developed during the course of the pilot will be of value in ANYLTS' on-going centralized processing operation. As the discussion of this point in Part A indicated, this is quite important in the overall development of an efficient centralized processing program. In any case, it should be understood that Phase II of the pilot project, involving as it does the centralization of two or more systems' technical processing operations cannot begin before agreement on uniform cataloging procedures has been reached.

(2) At the earliest possible time, the public library systems not participating in the pilot should adopt the statewide rules and practices. This suggestion is based on the fact that the most formidable problem each institution will face in the move to statewide centralized processing will be the dislocation of existing collections that will follow from the adoption of uniform classification practices. Assuming that implementation will take from 3 - 5 years, it would, therefore, not seem wise for each system to wait until the last moment to adopt the uniform standards.

The matter of adopting uniform cataloging practices extends to the basic question - at least for the largest public libraries in the state - of whether a shift to Library of Congress classification is desirable. Beyond that, the issues that must be dealt with include: descriptive cataloging, rules of entry, classification, cutter numbers, length of class numbers, the treatment of juvenile materials, use of foreign language symbols, classification of phonorecords and other non-book materials, serials classification, treatment of fiction, the use of non-Roman alphabets and, finally, the entire matter of reclassification.

Recommendation

The Board should immediately appoint a Committee on Cataloging Practices to investigate these issues and make recommendations to the Board. This committee should have from five to nine members, each of whom is the

head of either a cataloging or technical services department. (Members of this committee, as well as those of others recommended in subsequent sections of this report, should serve without fee. ANYLTS should, of course, pay for travel and other expenses incurred in attending meetings. The Board should make it clear to the system directors that it considers their willingness to release staff for ANYLTS' committee purposes as evidence of their endorsement of ANYLTS' basic goals. If the meetings of ANYLTS' committees are infrequent and/or poorly attended, the implementation effort will stagnate.)

This committee should be charged with the assignment of proposing for the Board's consideration a detailed statement of the cataloging practices that should be adopted for ANYLTS. The committee should be instructed to report its findings, conclusions and recommendations to the Board within nine months. Upon review by the Board, these uniform cataloging practices should be submitted to each of ANYLTS' member systems in order to elicit expressions of opinion. If these rules and practices are satisfactory to two-thirds of ANYLTS' members, representing at least 75 percent of the statewide public library cataloging volume, they should be officially adopted by the Board and promulgated as ANYLTS' uniform cataloging practices.

In view of the fact that the members of this committee will not likely be able to meet, on the average, more frequently than one day every two weeks, the Board should plan to contract for consultant services for this group. These consultants should be prepared to organize agenda and schedule meetings of the committee; to arrange for testimony before the committee by representatives from the public service and technical processing staffs of ANYLTS' member systems; to recommend procedures for data collection, to supervise the collection of data or to actually gather data collected and prepare them for presentation to the committee or Board; and, as appropriate, to propose to the committee issues it must resolve.

The development of statewide public library cataloging standards for ANYLTS should include attention to the cataloging requirements of public elementary and secondary schools and of academic libraries in the state. The mechanisms the Board should establish for communication and consultation with representatives of such libraries is discussed later in this report.

Adoption of uniform cataloging practices - or discovering that it is impossible to reach universal agreement, if that proves to be the case - presents the Board with an appropriate occasion to re-examine some of the original cost estimates contained in the Nelson Associates report, Centralized Processing for the Public Libraries of New York State. The extent to which reclassification should be entertained, including questions of the underwriting of these expenditures, should be a part of this analysis. This re-examination of projected costs and savings should be the responsibility of the Committee on Cataloging Practices.

Upon completion of its task, the committee should be asked to designate three of its members to a Standing Committee on Cataloging Practices. This committee should advise the Director of ANALYTS throughout the implementation period on matters relating to the centralization of cataloging. One of the three members should represent the system at which the pilot project will be conducted.

DEVELOPMENT OF UNIFORM ACQUISITIONS PROCEDURES

The consolidation of ordering, per se, should present fewer obstacles than the development of uniform cataloging practices. Nevertheless, there are several issues that require detailed investigation and, in addition, there is the as yet unexplored question of the feasibility of centralizing book selection for the public libraries of the state. These matters will require Board decisions prior to the initiation of Phase II of the pilot project.

The original Nelson Associates feasibility study limited its investigation of the book order operations of the systems to a detailing of current costs and present practices. Little attention was given to postulating the nature of the acquisitions procedures that ANYLTS should adopt, since it was believed that a computerized acquisitions operation would provide considerable flexibility and could handle most of the ordering requirements of the 22 public library systems. It is in the best interests of efficiency and maximum utilization of staff, however, for the Board to attempt to establish uniform acquisitions procedures for ANYLTS.

Recommendation

By January 1968, the Board should have appointed a Committee on Acquisitions Practices. This committee should consist of not more than five members, one of whom should be the head of the book order operations at the pilot system. The committee should be asked to have prepared, not later than December 1968, a detailed statement of the regulations that should govern ordering in the on-going ANYLTS operation. The committe's recommendations to the Board should give specific attention to the prospects for coordinated book selection and procedures for handling serials, and should describe how new and added copy orders will be handled by systems that currently order from multiple order forms in book display rooms, by those that order principally from lists and by systems that presently allow their members to order any book at any time. The committee's responsibility should extend to an inquiry into the nature of the supporting accounting documents required to effect payment for materials acquired by each of the participating libraries.

The findings and conclusions of the committee should be reviewed by the Board and by ANYLTS' members. If favorably received by two-thirds of the member systems representing at least 75 percent of the total potential acquisitions volume of ANYLTS, these procedures should be adopted by the Board.

In all likelihood, the Board will have to supply the Committee on Acquisitions Practices with outside assistance of one kind or another. At the least,it would appear that the committee members themselves will not be in a position to perform all the research that will be required.

As with the committee investigating cataloging practices, the Committee on Acquisitions Practices, upon completion of its principal assignment, should evolve into a Standing Committee on Acquisitions Practices that would serve as a sounding board for the Director of ANYLTS for the duration of the implementation period.

Having resolved the acquisitions procedures to be employed by ANYLTS, the Board should again have the expected costs and savings associated with the creation of ANYLTS re-assessed and should report these findings to the member systems.

PHYSICAL PREPARATION

The Board need not presently concern itself with questions related to the number and location of physical preparation facilities that ANYLTS will ultimately operate or to the nature of the preparation services they should offer. It is not likely that these aspects of the implementation process will require significant attention before the Spring of 1969.

The necessity for standardization of physical preparation procedures - where the label is put, whether ownership is stamped, where the pocket is glued, what kind of protective jacket is used, etc. - is quite minimal when compared to the importance the Board should attach to securing agreement on uniform acquisitions and cataloging practices. In the first place, the 22 systems' physical preparation operations will be the last aspect of technical services to be centralized in ANYLTS; it does not seem necessary, for example, to plan to include a test of such centralization in Phase II of the pilot project. Furthermore, even when ANYLTS begins to

consolidate physical preparation activities, it is unlikely that centralization will result in a single statewide processing center. At least initially, ANYLTS will want to establish a number of regional preparation facilities, each of which might prepare materials according to agreements reached by the member systems of the particular region, thus obviating any immediate need for statewide standardized physical preparation practices.

When the time does come for the Board to decide on the number and location of the centralized physical preparation facilities that ANYLTS should operate, it would appear that research along the following lines should guide its deliberations:

(1) Are there certain localities within the state that now receive, or could receive, faster delivery of large quantities of materials from publishers and jobbers than others?

(2) Should shipments from the regional physical preparation facilities be limited to the headquarters of the systems served or should processed material be delivered directly to the system's member libraries (or branches, in the case of the single library system)?

(3) How should processed materials be delivered?

(4) When analyzed from the point of view of arteries for truck traffic, which locations in the state offer the best prospects for minimum total delivery time within the various regions?

(5) Are there known limitations to the volume of material that any one preparation facility might process?

(6) Where in the state, from the standpoint of manpower availability and low-cost space, should ANYLTS plan to establish its physical preparation facilities?

These analyses may be further complicated by arrangements requiring ANYLTS to provide preparation services for school and college libraries in the state. The likelihood of such arrangements will undoubtedly be more precise when the Board treats the matter of the number and location of preparation facilities required.

Recommendation

The Board should plan to hire consultants to determine the number and location of physical preparation facilities required by ANYLTS, conduct inquiries leading to the development of a timetable and program for moving from the existing systems to the new facilities and to propose the uniform physical preparation practices that should be adopted by each regional facility. The research underlying these three objectives and the subsequent formulation of appropriate findings, conclusions and recommendations for the Board's review will require a substantial amount of continuous man-effort. The assignment does not appear to be one that could effectively be undertaken by a volunteer committee appointed by the Board.

Arrangements for these consultant services should be made during Phase II of the pilot project and, therefore, will probably not be required before 1970. The consultants should expect to work closely with the Director of ANYLTS and his staff on this assignment.

BOOK CATALOGS

The creation of ANYLTS originated with a formal expression by the state's public library systems of agreement, in principal, with the basic conclusions of the report, Centralized Processing for the Public Libraries of New York State. That agreement did not, however, extend to the report's recommendations for the development of various configurations of book catalogs for the state's public libraries. Thus, the Board's responsibility at this juncture in regard to the question of book catalogs must be interpreted essentially as one calling for the development, evaluation and promulgation of more detailed and explicit information on the utility of such devices from the standpoint of public service.

Recommendation

The Board should immediately appoint six high ranking public service librarians from public libraries within the state to a Committee on Book Catalogs. This committee should be charged with the responsibility for: reviewing all major research efforts completed or being carried out elsewhere that relate to the advantages and disadvantages of book form catalogs to the library's staff and public; evaluating the book catalog accumulation formula - along with its implications for costs - proposed in the Nelson Associates report and the subsequent report of The Theodore Stein Company on computerized catalog production; exploring the feasibility of preparing separate book catalogs of special collections held by the state's major public libraries; ascertaining the desirability for purposes of interlibrary loan of a statewide union catalog; and, for researching those as yet unresolved aspects of book catalog production - such as

the inclusion of holdings symbols or the printing of holdings lists, the number of copies of a book catalog required to provide access equal to present card catalog files, etc.

Since the tasks confronting this committee are quite complex, the Board should provide it with a full-time staff position. This temporary position could be filled either by a librarian on leave who had considerable background in survey research, by a professional library consultant or by an experienced methods analyst. It would be desirable, however, if this position were filled by someone with some familiarity with data processing techniques.

It is difficult to specify a definite time limit for the work of the Committee on Book Catalogs. For one thing, the length to which the committee pursues its assignment depends on the conclusions it reaches at various stages in its investigations about the feasibility of book catalogs for public libraries in New York State. Thus, an early termination of its inquiries is a distinct possibility. Then, too, some of the issues that the committee will consider may only be successfully resolved by actual experimentation, either by libraries here or in other parts of the country. Therefore, a rather prolonged, albeit not continuous, inquiry is not unlikely.

It is important that the Committee on Book Catalogs issue progress reports, perhaps bi-monthly, to the members of ANYLTS. Several of the major libraries in the state are entertaining thoughts of book form catalogs for parts of their collections and would greatly profit by being kept informed on the status of the committee's work.

Throughout the investigations into the matter of book catalogs, opportunities for refining the original feasibility cost estimates will arise. Such reappraisals of the economics of book form catalogs as compared with card catalogs are both justifiable and desirable. The committee should be receptive to these opportunities, call them to the attention of the Board and, upon instruction of the Trustees, carry out the required analyses.

By the end of 1969, those systems or libraries interested in securing or participating in book catalogs for all or parts of their collections should have formally expressed this intent to the Board of ANYLTS. Assuming that reliable cost sharing formulae can be arrived at for ANYLTS' acquisitions-cataloging center and that these equations can be adapted to cover book catalog production, then the Director of ANYLTS and his staff should thereafter undertake the responsibility for the ultimate production of catalog cards or book catalogs as required by the participating public libraries.

SCHOOL LIBRARY COORDINATION

Arthur D. Little is presently conducting a study for the Bureau of School Libraries of the New York State Education Department, aimed at instructing the Bureau on the manner in which it should proceed to implement centralized processing for the public elementary and secondary schools of the state. The preliminary draft of Arthur D. Little's final report suggests that efforts to automate school library technical services be aligned with the program to develop centralized processing for the campus libraries of the State University of New York. This recommendation appears to be based on the conclusion that the computerized procedures which have been proposed for SUNY will better serve the processing requirements of the state's school libraries than will the computer system designs which have been prepared for ANYLTS.

The detailed computer system specifications of the SUNY program have not as yet been issued. Any discussion of public library-school library coordination in the further centralization of technical processing must be postponed until that document has been carefully analyzed.

Recommenation

Upon his appointment, the Director of ANYLTS should be instructed to prepare for the Board's review a detailed assessment of the computer system design and specifications that Arthur D. Little has prepared for SUNY. This evaluation should be directed at the following questions:

(1) To what extent are the Arthur D. Little recommendations for centralized processing compatible, from the technical standpoint, with the program envisioned for ANYLTS?

(2) If there are incompatibilities, to what can they be attributed? What are the implications of such incompatibilities? How could they be resolved?

(3) What should be the position of the Board of ANYLTS on the ANYLTS, school library and SUNY implementation programs?

ACADEMIC LIBRARY COORDINATION

The review sessions and planning meetings that preceded the creation of ANYLTS were attended by representatives of the academic library community in New York State. Indeed, the Advisory Committee established by the State Library for purposes of discussing and evaluating Nelson Associates' report on centralized processing for public libraries included such individuals among its members. This inclusion seemed most appropriate, for the academic librarians made it perfectly clear that they were not disinterested in the nature and scope of the technical processing operations that were being contemplated. Now that ANYLTS is a realty, it would appear to be desirable for the Board to establish a

mechanism whereby the academic library community could transmit its technical processing concerns and interests, insofar as they relate to ANYLTS, to the Board for its consideration.

Recommendation

The Board should ask the Division of Library Development of the State Library to assign to one of its academic and research library consultants the on-going task of keeping the academic and research libraries in the state informed of ANYLTS' progress and of calling to the attention of the Board, its staff, committees and/or consultants issues that might affect decisions being made within ANYLTS which have a bearing on the ultimate usefulness of ANYLTS to academic and research libraries. Alterations in those decisions which would tend to assure increased cooperation between the two communities of libraries without jeopardizing the technical processing interests of the state's public libraries or ANYLTS' timetable for implementation should be endorsed by the Board. If they are of major significance, these matters should be submitted to ANYLTS' members for their reaction.

LEGAL MATTERS

From time to time during the implementation period, the Board may find itself in need of legal advice. On such occasions, the Board should secure the services of counsel. Although certain legal matters that will confront ANYLTS might be satisfactorily resolved by the State Education Department's legal staff, the Board should be attuned to possible conflicts of interest whenever it decides to rely on other than its own lawyers.

FINANCING ANYLTS

This discussion of the financial issues confronting the Board in its attempts to develop centralized processing for public libraries in the state covers two matters: sharing of ANYLTS' costs among its members; and, the preparation of ANYLTS' operating budgets, especially for the period immediately ahead. If the scope of ANYLTS' goals is broadened to extend to the provision of technical services for school and/or academic libraries, then appropriate revisions and modifications in the financing of ANYLTS will, of course, be required.

The questions the Board will have to resolve as far as the sharing of the implementation and the on-going operating costs of ANYLTS can be specified as follows:

(1) Who should finance the costs of implementation, including expenditures of the Board, and those for staff, committees, consultants, office space, equipment and the development of computer software, etc.?

(2) Assuming that the Board will urge the state's public libraries to adopt the uniform cataloging practices at the earliest possible date after agreement on them has been reached, what support, if any, should ANYLTS provide to libraries that incur substantial and unavoidable, if such is the case, reclassification costs in shifting to the statewide procedures?

(3) What kind of financial assurances, if any, should ANYLTS give to the system(s) participating in the pilot project in view of the fact that a decision could later be made to disband ANYLTS?

(4) At what point should the costs of implementation be considered complete and the sharing of ANYLTS expenditures by its members become a reality - at the beginning of Phase II, on an individual basis as systems are added to Phase II or only when complete centralization has been attained?

(5) What effect should the development of ANYLTS have on the administration of state aid to public libraries?

(6) What is an appropriate formula for the sharing of the operating costs of the permanent acquisitions-cataloging center? How should expenditures of the regional preparation facilities be shared?

Recommendation

Without attempting to answer these questions, it does seem that the Board should adopt the general position that ANYLTS' members not be required to contribute funds for implementation, that members pay for processing services upon receipt of such services and that, in the meantime, members assume the cost of those changes in their technical processing operations which they judge to be in their own best interests.

The Board should appoint several of its members to a Finance Committee. This committee should be chaired by the Treasurer of ANYLTS and should be responsible for investigating the basic issues detailed above. The Director of ANYLTS should serve as the secretary to this Finance Committee, which should include a representative from the Division of Library Development of the State Library in an advisory capacity.

Of course, the Board must rather immediately establish an approach to financing the costs of implementation so that it may prepare and submit to the proper authorities its budget for the next twelve months of operations. Responsibility for preparing this initial budget should rest with

the Treasurer of ANYLTS. Thereafter, the Director should be responsible for submitting budget requests to the Board for those implementation activities under his direct supervision - essentially those connected with the pilot project - and the Board should supplement this budget with requests in support of those implementation efforts being performed by or for the Board directly.

It appears that ANYLTS will require financing of from $150 - 175 thousand for implementation activities through December 1968. This estimate assumes that ANYLTS will have a staff during this period consisting of a Director, two aides, four programmers and two secretarial-clerical positions; will contract for consultant services in the amount of $35 - 50 thousand; and, will spend from $5 - 10 thousand on such items as space, telephone, supplies, travel and subsistence for Board and committee members, etc., during the next 12 to 15 months.

The budgets developed by ANYLTS should be supported by a detailed statement of the implementation activities and goals of the budget period.

PUBLIC RELATIONS

One of the members of the Board should assume responsibility, at least initially, for the distribution of notices of the activities, findings, decisions, etc. of the implementation process to ANYLTS members, other libraries within the state, and to libraries, library organizations and other institutions throughout the country. At the earliest possible *time, this responsibility* should be assumed by one of the Director's staff.

PART C

TIMETABLE FOR IMPLEMENTATION

The report, Centralized Processing for the Public Libraries of New York State, indicated that perhaps five years would be required to get ANYLTS to the point of beginning to serve the ordering and catalog copy production requirements of the state's public library systems. Events since March 1966, when that document was issued, do not give cause for a more optimistic view of the timetable for implementation. Indeed, there is little reason to believe that implementation will be completed before 1972-73.

Given such an extended period over which implementation will occur, it would be a bold gesture to specify in detail what will happen during the interval before the goal is realized. It must suffice to say that between now and early 1970, the work of implementation will be directed almost entirely towards initiating Phase I of the pilot project; that by sometime in 1971, Phase II should have begun; and, that by the end of 1973, ANYLTS may be fully operational.

The 15 months between October 1967 and December 1968 are somewhat more in focus. A recapitulation of the recommendations of Parts A and B as they affect this period is given below.

ANYLTS TIMETABLE

October 1967 - December 1968

Period	Event
Before January 1968	1. Board selects location of acquisitions-cataloging center
	2. Board selects pilot site
	3. Basic organizational relationships between ANYLTS and the pilot institution settled
	4. Director and initial staff hired
	5. Committee on Cataloging Practices established; consultants secured
	6. Committee on Acquisitions Practices established
	7. Committee on Book Catalogs established
	8. Finance Committee appointed
	9. Initial ANYLTS budget developed

Period	Event
Spring 1968	1. Review of computer designed begins 2. Consultants for Committee on Acquisitions Practices secured 3. Staff position for Committee on Book Catalogs secured 4. Liaison with academic library community initiated 5. Preliminary report of Committee on Cataloging Practices submitted
Summer 1968	1. Final report of Committee on Cataloging Practices submitted; review begins 2. Recosting based on review of computer designs 3. Programming begins 4. Conversion activities associated with Phase I of the pilot project initiated at pilot system 5. First major report of Finance Committee submitted
Fall 1968	1. Report of Committee on Cataloging Practices acted upon 2. Recosting based on review of report of Committee on Cataloging Practices 3. Conversion activities associated with Phase I of the pilot project expanded 4. Second ANYLTS budget developed 5. Preliminary report of Committee on Acquisitions Practices submitted

Period	Event
Winter 1968	1. Final report of Committee on Acquisitions Practices submitted; review begins
	2. Conversion activities associated with Phase I of the pilot project expanded
	3. Recosting based on review of report of Committee on Acquisitions Practices
	4. Second major report of Finance Committee submitted

The use of the services of consulting firms was recommended in several instances in Part B. It is very likely that consultants of one kind or another will be required during later stages of the implementation process as well. This raises the question of whether the Board should plan to hire consultants to assist with specific problems or whether it should contract for overall implementation management services. Under such an arrangement as the latter, specialized consulting requirements would probably be met under sub-contract arrangements with the prime contractor. This prime contractor would, upon appointment of the Director, work closely with him. The consultants would be an extension of his staff.

Which of these alternatives the Board adopts depends on the amount of time the members of the Board are prepared to spend in pursuing the program for implementation, and on the cost of available implementation management services. The first consideration is by far the most important one. If the members of the Board cannot devote substantially more than one day a month to ANYLTS, then it should secure bids for overall management of the implementation program. (The Board might use this report as the basis for quotations.) Should the Board decide to follow this course of action, and it should do so only with the agreement of the Director, it should have a clear understanding with the consultants that these services can be terminated by application of 30 or 60 days notice.

PART D

STATUS OF SYSTEM TECHNICAL PROCESSING DURING THE IMPLEMENTATION PERIOD

Questions regarding the status of technical processing services in the state's public library systems during the very lengthy implementation period projected are quite complex. The most pertinent considerations for some systems in attempting to decide what changes, if any, they should make in their present operations may be of an administrative and not a technical nature.

Part B urged that the Board encourage the 22 systems to adopt the statewide uniform cataloging practices once these practices have been formally approved for ANYLTS. Yet, Part C makes it perfectly clear that it will be many years before a significant number of these systems can secure cataloging services from ANYLTS. Why, then, should the systems be in any hurry to accept the uniform cataloging practices? For some systems, a positive decision rests on the notion that such adoption will cause little damage or hardship at present and may yield great returns in the future. In larger systems, where the price of major alterations in cataloging practices may be higher - in terms of the inconvenience to staff and public - the principal consideration might be that such adoption could pave the way for conventional centralization of technical processing operations with neighboring systems while ANYLTS is implementing its more sophisticated design. Such intermediate centralization, which cannot occur without adoption - at least by the systems in question - of uniform cataloging practices, is certainly in the best long term interests of ANYLTS.

It seems clear, then, that it is undesirable for ANYLTS to attempt to impose a moratorium on regional centralization of technical processing in the state's public library systems if that centralization will benefit the systems in question - economically, technically or politically.

Another aspect of the question of the status of technical processing in the 22 systems between 1967 and the early 1970's relates to those systems which currently perform one or more of the technical service functions for non-public libraries. Should these arrangements, which essentially involve school libraries be expanded or contracted? The answer must await decisions on the more fundamental issue of the extent of cooperation between ANYLTS and the Bureau of School Libraries that will be feasible.

Finally, there is the matter of the legitimate point in the implementation process for ANYLTS' members to begin to question ANYLTS' eventual unit processing costs. It would be premature to say more than that this concern should not be entertained at all before Phase I of the pilot project has been completed and analyzed. Beyond that stage, a definite procedure should be established that would provide periodic cost information for the systems' consideration. The other side of this coin is the notion - and it seems most intelligent - that, beyond Phase I, ANYLTS' members be required to make some agreements that would assure minimum volumes of activity for ANYLTS at certain fixed times in the future.